

*Providing Safe Drinking Water for Indiana ... For Now and the Future*

**STATE FISCAL YEAR (SFY) 2002  
DRINKING WATER STATE REVOLVING FUND  
(DWSRF)  
APPLICATION GUIDELINES**

**Introduction**

The Indiana Drinking Water State Revolving Fund (DWSRF) offers low-interest loans for the planning, design, construction, renovation, improvement or expansion of publicly-owned public water systems (PWS). Projects should facilitate compliance with national primary drinking water regulations applicable to PWS under the federal Safe Drinking Water Act (SDWA) or otherwise significantly further the health protection objectives of the SDWA. The program is managed jointly by the Indiana Department of Environmental Management (IDEM) and the State Budget Agency (SBA).

**General Eligibility**

*Since 1999, all public drinking water systems are eligible for DWSRF funding*, including: cities, towns, counties, conservation districts, regional water districts, and private and not-for-profit drinking water systems. Please only submit an application if you intend on closing a loan within State Fiscal Year 2002 (July 1, 2001 - June 30, 2002).

**Completing the Application**

Eligible entities interested in applying for DWSRF financing of their drinking water treatment projects should submit a completed DWSRF application form **with one copy** to the address listed therein. **Only one application which addresses all project financing for the [fiscal] year of the application should be submitted.** The application must be completed in full.

Submission of a completed application will qualify a community for placement on the Intended Use Plan (IUP) / Project Priority List (PPL). Inclusion on this list is required for DWSRF project financing. The IUP / PPL is prepared annually with an effective date of July 1 (expiring June 30 the following year). Applications for inclusion on the State Fiscal Year 2001 DWSRF IUP / PPL will be due by **Monday, April 2, 2001**. Applications submitted after this date will be ranked into the PPL in January 2002.

**Please note:** Federal law requires water systems to have the technical, financial and managerial capacity to run their systems in order to receive an SRF loan. For that reason, the operator of your water system will be strongly encouraged to complete and submit the attached Capacity Development Self Assessment (new for SFY 2002) along with your application. The questions are designed to ensure that you have assessed the true needs of your water system and that your system does, in fact, meet technical, financial and managerial capacity. The questions should not be difficult to answer if done so by someone who is in charge of the system's daily operations.

Upon receipt of your application, IDEM will contact the water system for a preplanning meeting. During the meeting, the program's process and Preliminary Engineering Report requirements will be explained to the system's representative and engineer. The term "Preliminary Engineering Report" (PER) used in the context of this application is defined as a drinking water improvement project planning task and resulting document, prepared according to IDEM's program requirements. A project cannot close on a loan until the PER has been approved by IDEM.

Once the PER is approved by IDEM, design plans and specifications can be prepared according to that plan for IDEM approval.

Eligible projects for the DWSRF Program include:

- i treatment plant improvements;
- i water line extensions;
- i upgrades; and
- i water towers.

Items that are not eligible for SRF funding include:

- : materials and work done on private property;
- : grant applications and income surveys done for other agencies (DOC, RDA, RECD, etc.)
- : projects designed to promote economic development;
- : expenses incurred as part of forming Regional Water Districts, Conservancy Districts, or changing boundaries;
- : costs for preparing Wellhead Protection Plans;
- : Items that should be covered through routine maintenance.

*Please send the application and one copy to:*

**Ms. Cortney Stover  
Drinking Water SRF Administrator  
Office of Water Management  
100 North Senate Avenue  
Indianapolis, IN 46204-2211**

Any questions should be directed to Ms. Stover at (317) 232-8663  
or Mr. Bruno Pigott, SRF Section Chief, at (317) 232-8655.



State of Indiana

**DRINKING WATER  
STATE REVOLVING FUND  
(DWSRF)  
LOAN PROGRAM  
for Drinking Water Facility Improvements  
SFY 2002  
APPLICATION FORM**

**Return completed form and one copy to:**

**Ms. Cortney Stover**

**State Revolving Fund (SRF) Loan Program**

**Indiana Department of Environmental Management**

**Office of Water Management**

**100 North Senate Avenue**

**Indianapolis, IN 46204-2211**

Any questions regarding this application form should be directed  
to Mr. Bruno Pigott, SRF Section Chief, at (317) 232-8655.

**Please Type or Print Legibly**

**Section I. APPLICANT & SYSTEM INFORMATION:**

**A.** Name of Water System: \_\_\_\_\_ PWS ID: \_\_\_\_\_

**B.** City / Town in which Proposed Project is  
located: \_\_\_\_\_

**C.** Township (s) in which Proposed Project is  
located: \_\_\_\_\_

**D.** County (ies) in which Proposed Project is located:  
\_\_\_\_\_

**E.** State Representative District: \_\_\_\_\_ **F.** State Senate District: \_\_\_\_\_ **G.** Congressional District: \_\_\_\_\_

**H.** Project is located in which Watershed; indicate the Lettered / Numbered area: \_\_\_\_\_ (see map for reference)

**I.** Population Served: \_\_\_\_\_ Census Year: \_\_\_\_\_

**J.** Median Household Income for Service  
Area\*: \_\_\_\_\_

**K.** Number of Metered Connections: \_\_\_\_\_ Number of Service Connections:  
\_\_\_\_\_

**L.** Rate per 4,000 gallons: \_\_\_\_\_

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**M.** If a certified operator is in charge of the system, list name, telephone number and the certification number:

Name: \_\_\_\_\_ Telephone #: \_\_\_\_\_ Certification  
#: \_\_\_\_\_

**\*Median Household Income for Service Area: IDEM reserves the right to make the final determination on Median Household Income for the project's service area. Median Household Income is used solely for the DWSRF Scoring and Ranking System.**

**N. Authorized Representative** responsible for receiving and submitting documents regarding the Proposed Project  
*Must be an official of the community:*

1. Name: \_\_\_\_\_ 2. Title: \_\_\_\_\_

3. Daytime Telephone Number (Include Area Code): \_\_\_\_\_

4. Mailing Address (Include Zip Code): \_\_\_\_\_

**O. Consulting Engineer**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**P. Financial Advisor**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**Q. Bond Counsel**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**R. Local Counsel**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**Section II. PROJECT INFORMATION:**

**A. Project Need:**

Select all reasons that apply and include a brief description of the problem(s) and need(s) associated with each reason.

*Please attach additional sheets if necessary.*

**:Please Note: Projects that are for fire suppression or economic development (i.e.: future growth) are not eligible for funding under the Safe Drinking Water Act, (SDWA). MCL = Maximum Contaminant Level.**

I. Public Health / SDWA MCL Violation:

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II. SDWA Compliance:

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III. Inadequate Water Supply:

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IV. Infrastructure Replacement / Improvement:

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V. Consolidation:

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VI. Restructuring of system to come into Compliance with the SDWA:

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VII. Other (Please Describe):

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**B. Proposed Project:**

Describe the scope of your project and how it will address your project's "Need" as enumerated in Section II, Part A.  
*Please attach additional sheets if necessary.*

*Indicate estimates for each project. Please attach additional sheets if necessary.*

**D. Please identify any other funding sources** being considered, the amount requested and the anticipated funding time frame:

### Section III. CAPACITY DEVELOPMENT:

**A. Capacity Development:** Per the Safe Drinking Water Act, water systems seeking funding under the Drinking Water State Revolving Fund (DWSRF) must be able to certify that they possess the “Technical, Managerial, and Financial capacity to operate their systems.

1. Does your system currently possess “technical, managerial and financial capacity”?

YES NO

2. If No, will “technical, managerial and financial capacity” be achieved after the implementation of your community’s DWSRF project?

YES NO

**Please Note:** *If the answer for Number 2 above is NO, your system will be deemed ineligible for DWSRF assistance. (Restructuring of existing water systems is an eligible activity under the DWSRF program.)*

## **Section IV. PROCUREMENT:**

**Political subdivisions conducting procurement for the uses authorized by the drinking water SRF for professional services shall proceed pursuant to IC 5-16-11.1.**

### **IC 5-16-11.1-1 Chapter 11.1. Procurement of Services of Architects, Engineers, and Land Surveyors**

**Sec. 1. As used in this chapter, "firm" means an individual, partnership, limited liability company, corporation, association, joint venture, or any other form of unincorporated enterprise.**

**As added by P.L.24-1985, SEC.16. Amended by P.L.8-1993, SEC.68.**

### **IC 5-16-11.1-2**

**Sec. 2. As used in this chapter, "professional services" means those services that are:**

**(1) within the scope of practice specified by IC 25-4 for architecture, IC 25-31 for professional engineering, or IC 25-21.5 for land surveying; or (2) performed by any licensed architect, professional engineer, or land surveyor in connection with his professional employment or practice.**

**As added by P.L.24-1985, SEC.16. Amended by P.L.23-1991, SEC.2.**

### **IC 5-16-11.1-3**

**Sec. 3. As used in this chapter, "public agency" includes a: (1) political subdivision as defined in IC 36-1-2-13;**

**(2) municipally owned utility; (3) lessor corporation leasing a school building to a school corporation under IC 21-5-11 or IC 21-5-12; or (4) lessor corporation constructing a public facility to be leased to a political subdivision.**

**As added by P.L.24-1985, SEC.16.**

### **IC 5-16-11.1-4**

**Sec. 4. (a) When professional services are required for a project, a public agency may: (1) publish notice in accordance with IC 5-3-1; (2) provide for notice (other than notice in accordance with IC 5-3-1) as it determines is reasonably calculated to inform those performing professional services of a proposed project; (3) provide for notice in accordance with both subdivisions (1) and (2); or (4) determine not to provide any notice. (b) If the public agency provides for notice under subsection (a)(1), (a)(2), or (a)(3), each notice must include:**

- (1) the location of the project;**
- (2) a general description of the project;**
- (3) the general criteria to be used in selecting professional services firms for the project;**
- (4) the place where any additional project description or specifications are on file;**
- (5) the hours of business of the public agency; and**
- (6) the last date for accepting statements of qualifications from interested parties.**

**As added by P.L.24-1985, SEC.16. Amended by P.L.51-1988, SEC.1.**

### **IC 5-16-11.1-5**

**Sec. 5. A public agency may make all contracts for professional services on the basis of competence and qualifications for the type of services to be performed and negotiate compensation that the public agency determines to be reasonable.**

**As added by P.L.24-1985, SEC.16.**

## **Section V. SIGNATURE:**

**I certify that I am legally authorized by the legislative body to sign this application.  
To the best of my knowledge and belief, the foregoing information is true and correct.**

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**Signature of Authorized Representative (Community Official)**

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**Printed or Typed Name**

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**Title of Authorized Representative**

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**Date**